Transportation Appeal Tribunal of Canada

For the period ending March 31, 2009

Departmental Performance Report

The Honourable John Baird, P.C., M.P.
Minister of Transport, Infrastructure and Communities

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CHAIRPERSON'S MESSAGE

It is once again my privilege to report the activities of the Transportation Appeal Tribunal of Canada.

The reporting period of 2008-2009 represents almost 23 years of service by the Transportation Appeal Tribunal of Canada which together with its predecessor the Civil Aviation Tribunal has delivered quality service to Canadians.

I am pleased to confirm that the Tribunal has made progress and innovations over the past year while keeping up with its expanding mandate to include cases under the *Marine Transportation Security Act* and the *Canada Shipping Act, 2001*. The passage of the *Marine Transportation Security Regulations* in November 2006 with its in force date of November 2007 brings to fruition the expanded multimodal mandate of the Tribunal. Additionally, the *International Bridges and Tunnels Act* has received Royal Assent. This Act confirms the federal government's exclusive jurisdiction over international bridges and tunnels. It establishes a system of administrative monetary penalties for designated infractions of the legislation which may be reviewed through the Transportation Appeal Tribunal of Canada's two-level hearing process (review and appeal).

The Transportation Appeal Tribunal of Canada is a quasi-judicial body which adjudicates matters that have a serious impact on the livelihood and operations of the aviation, rail and marine sectors. It fulfills the essential role of providing an independent review of ministerial enforcement and licensing actions taken under various federal transportation Acts.

The Tribunal continues to conduct itself in an open, impartial manner consistent with procedural fairness and the rules of natural justice. The Tribunal encourages the use of pre-hearing conferences to assist the parties appearing before it, to identify the issues for determination by the Tribunal and to disclose and exchange documents. This reduces the length of hearings and avoids last-minute adjournments necessitated by late disclosure. This becomes an important factor given the current complexity of hearings with parties' representatives requesting hearings from five to twenty days in length.

The program's effectiveness can be measured by its ability to provide the transportation community with the opportunity to have ministerial decisions reviewed fairly, equitably and within a reasonable period of time. The average lapsed time between the conclusion of a review hearing and the issuance of a determination for this reporting period is 70 days and 85 days for an appeal. This brings the hearing process to a timely conclusion for both parties appearing before it.

Faye Smith
Chairperson

SECTION I: AGENCY OVERVIEW

Raison d'Être and Responsibilities

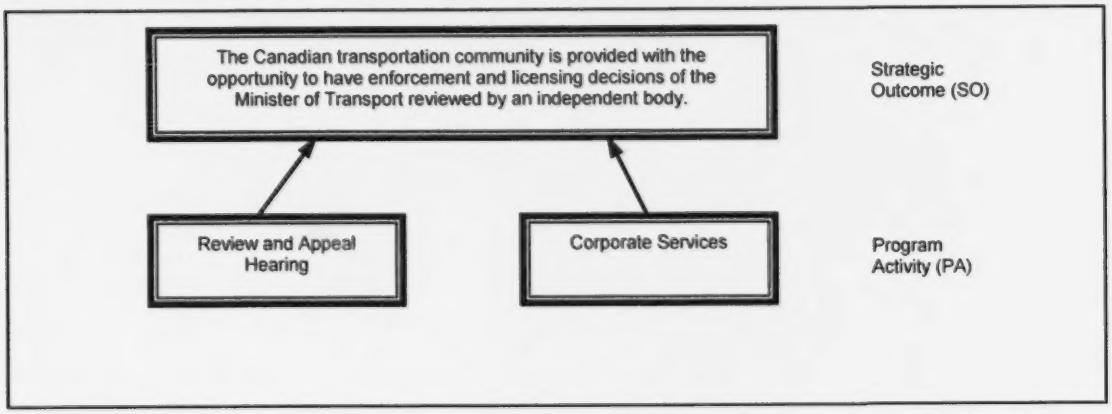
The mandate and the jurisdiction of the Transportation Appeal Tribunal of Canada are provided for by the *Transportation Appeal Tribunal of Canada Act*. The Tribunal's principal mandate as a multimodal review body is to hold review and appeal hearings at the request of interested parties with respect to certain administrative actions taken under various federal transportation Acts.

The objective of the program is to provide the transportation community with the opportunity to have enforcement and licensing decisions of the Minister of Transport reviewed by an independent body. The Minister's enforcement and licensing decisions may include the imposition of monetary penalties or the suspension, cancellation, refusal to renew or refusal to issue or amend documents of entitlement on medical or other grounds. The person or corporation affected is referred to as the document holder.

These decisions are reviewed through a two-level hearing process: review and appeal. All hearings are to be held expeditiously and informally, in accordance with the rules of fairness and natural justice.

At the conclusion of a hearing, the Tribunal may confirm the Minister's decision, substitute its own decision, or refer the matter back to the Minister for reconsideration.

Strategic Outcome and Program Activity Architecture (PAA)


The Canadian transportation community is provided with the opportunity to have enforcement and licensing decisions of the Minister of Transport reviewed by an independent body.
Strategic Outcome (SO)
Review and Appeal Hearing
Corporate Services
Program Activity (PA)

Crosswalk to Program Activity Architecture

Strategic Outcome

To provide the Canadian transportation community with the opportunity to have administrative or enforcement actions under federal transportation Acts reviewed by an independent body.

Program Activity

The Tribunal's only activity is the provision of an independent review process for aviation, rail and marine by providing document holders with the opportunity to proceed with a hearing. The Tribunal represents the only forum ensuring that document holders have access to an independent assessment governed by considerations of natural justice. Its role does not overlap with, nor is it duplicated by, any other agency, board or commission. It is unique in the transportation field in that its function is entirely adjudicative.

The program's objective is to provide for the operation of an independent Tribunal to respond to requests from the transportation community for review of enforcement and licensing decisions taken by the Minister of Transport under the *Aeronautics Act*, the *Canada Shipping Act, 2001*, the *Marine Transportation Security Act*, the *Railway Safety Act*, the *Canada Transportation Act*, the *International Bridges and Tunnels Act* and the *Canada Marine Act*, and to conduct hearings into such requests.

The program's effectiveness can be measured by its ability to provide the transportation community with the opportunity to have ministerial decisions reviewed fairly, equitably and within a reasonable period of time. Tribunal hearings are readily accessible to the lay person without the attendant legal complexities and case backlogs which were visited upon the court system that prevailed prior to the creation of this Tribunal and its predecessor, the Civil Aviation Tribunal.

Organizational Information

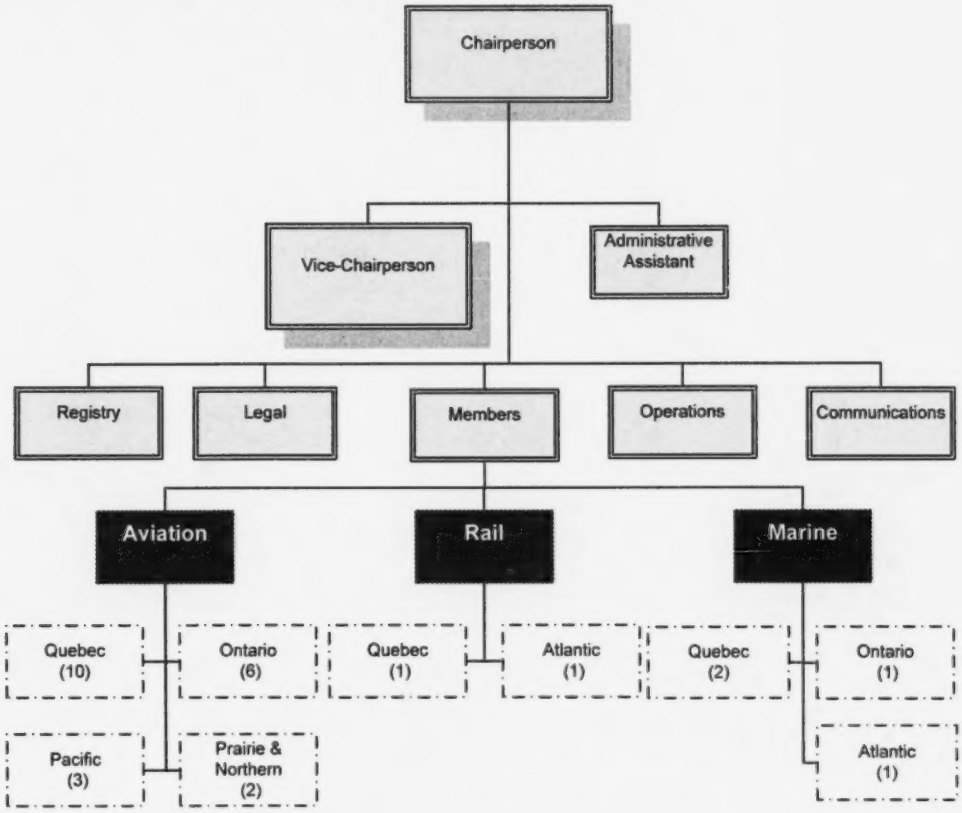
The Chairperson is the Chief Executive Officer of the Tribunal and has supervision over and direction of the work and staff of the Tribunal including:

- Apportionment of work among its members;
- Assignment of members to hear matters brought before the Tribunal;
- Conduct of the work of the Tribunal; and
- Management of its internal affairs.

The Tribunal reports to Parliament through the Minister of Transport.

The Chairperson, Vice-Chairperson and immediate staff account for 12 full-time equivalents. Twenty-seven part-time members were in office during the 2008-2009 period. Members are drawn from across Canada and are appointed by Order in Council on the basis of their knowledge and expertise.

Figure 1: Organization Chart



- The lower half of the organization chart displays the distribution of part-time members and their area of expertise by region. All members report to the Chairperson.
- Twelve full-time equivalents (FTEs) are utilized by the continuing full-time employees, including the Chairperson and Vice-Chairperson. Five full-time equivalents are used by the twenty-seven part-time members. During fiscal year 2008-2009, eight new part-time members were appointed.

Performance Summary

2008–2009 Financial Resources (thousands of dollars)

Planned Spending	Total Authorities	Actual Spending
1 659.7	1 834.0	1 748.6

2008–2009 Human Resources (FTEs)

Planned	Actual	Difference
12	10	2

Performance Summary Table

Strategic Outcome 1: The Canadian transportation community is provided with the opportunity to have enforcement and licensing decisions of the Minister of Transport reviewed by an independent body.		
Performance Indicators	**Targets**	**2008–2009 Performance**
% of disposition of review and appeal hearings within 90 days of request for hearing	100% decisions rendered within 90 days	The average lapsed time between the conclusion of a review hearing and the issuance of a determination is 70 days and 85 days for an appeal. This brings the hearing process to a timely conclusion for both parties appearing before the Tribunal. We have therefore exceeded our target which is set at 90 days.
% of hearing members provided with training or refresher courses	100% of hearing members provided with training within 120 days of appointment	The 5th annual seminar was held in May 2008. Membership was trained through updates and discussions of legislative changes. The interaction of members and role play scenarios assist the membership in achieving quality and consistency in making and writing decisions. A three-day training session was also held for recent appointees in October 2008.
% of registry staff provided with training	100% of staff provided with training at fiscal year end	As part of their learning plans, registry staff participated in the annual seminar and in the three-day training session.
% of decisions published on Web site	100% of decisions are published on our Web site within 120 days of hearing	All decisions are published within 120 days of hearing, as set out in our targets.* *Except for medical cases and in-camera hearings where information is confidential.

(Thousands of dollars)						
Program Activity	2007-2008 Actual Spending	2008-2009 Main Estimates	2008-2009 Planned Spending	2008-2009 Total Authorities	2008-2009 Actual Spending	Alignment to Government of Canada Outcomes
Review and Appeal Hearings	1 523.0	1 334.0	1 659.7	1 834.0	1 748.6	A safe and secure Canada The Transportation Appeal Tribunal of Canada reports to Parliament through the Minister of Transport. Its clients currently are the aviation, rail and marine communities and Transport Canada. The Tribunal serves the transportation public by contributing to a safe and efficient oversight process for transportation safety and security in Canada.
Total	**1 523.0**	**1 334.0**	**1 659.7**	**1 834.0**	**1 748.6**	

The Tribunal total authorities were increased by $500 046:

- $387 054 transferred from Transport Canada Vote 1 in support of the Web site update project to disclose 3500 decisions on the Tribunal Web site and to cover off salary shortfalls;
- $52 948 received from TBS through supplementary estimate (C) to cover PSAC PA new agreement
- $60 044 carried over from last fiscal year.

Total authorities were not fully utilized caused by delay in staffing.

Contribution of Priorities to Strategic Outcome

Operational Priorities	Type[1]	Status	Linkages to Strategic Outcome
Hold hearings expeditiously and informally	• Ongoing	• The Tribunal successfully met all expectations under this priority: By ensuring that services were available to informally resolve transportation-related disputes in a manner that is simple, rapid, less litigious and less costly; By ensuring that hearings were held expeditiously and informally; By the timely disposition of review and appeal hearings within service standards; By ensuring that hearings were being conducted in accordance with the rules of fairness and natural justice; By the use of pre-hearing conferences to streamline and expedite the hearing process; By the quality and consistency of decision-making.	• To provide the Canadian transportation community with the opportunity to have administrative or enforcement actions under federal transportation Acts reviewed by an independent body. By reviewing ministerial decisions fairly, equitably and within a reasonable period of time. Average lapsed time between the conclusion of a review hearing and issuance of a determination is 70 days and 85 days for an appeal. Our target is set at 90 days as per our Performance Management Framework. The Tribunal encourages the use of pre-hearing conferences to assist parties to identify issues for determination and to disclose and exchange documents. This reduces the length of hearings and avoids last-minute adjournments necessitated by late disclosure.

[1] Type is defined as follows: **previously committed to**—committed to in the first or second fiscal year prior to the subject year of the report; **ongoing**—committed to at least three fiscal years prior to the subject year of the report; and **new**—newly committed to in the reporting year of the RPP or DPR.

Management Priorities	Type[1]	Status	Linkages to Strategic Outcome
Business Continuity Plan (BCP)	• Previously committed to	• The Tribunal successfully met all expectations under this priority: A BCP has been in place since 2007 and was recently updated. The Tribunal has developed the necessary tools to maintain its business continuity plan readiness.	• To provide the Canadian transportation community with the opportunity to have administrative or enforcement actions under federal transportation Acts reviewed by an independent body. Plans, measures and arrangements are in place to ensure the continuous delivery of critical services, permitting the organization to recover its data and assets in order to continue to provide the Canadian transportation community with the opportunity to have administrative or enforcement actions under federal transportation Acts reviewed by an independent body in the event of a business interruption.
Increase awareness of the Transportation Appeal Tribunal of Canada with respect to its mission, mandate, role and results achieved	• Previously committed to	• The Tribunal successfully met all expectations under this priority: Enhancements and improvements to the Tribunal Web site along with making 3500 decisions available to the public has increased awareness and provide better information among the transportation community and key stakeholders with respect to the Tribunal's mandate and services.	To provide the Canadian transportation community with the opportunity to have administrative actions under federal transportation Acts reviewed by an independent body. Improved awareness and better information among the Transportation community and key stakeholders with respect to the Tribunal's mandate, services and decisions.

Overall Departmental Performance

In the 12-month reporting period, the Tribunal registered **112** new requests for review (**96** aviation, **14** marine and **2** from the Canadian Transportation Agency) and **7** requests for appeal from the aviation sector. This represents a decrease of **29** new case files registered over fiscal year 2007-2008. Additionally, **26** requests for certificates were received from the Minister, pursuant to section 7.92 of the *Aeronautics Act*.

In addition to the new cases registered in this reporting period, **97** cases were carried over from the previous reporting period, bringing the total caseload to **216**. This represents a decrease of **42** cases over 2007-2008.

The Tribunal heard **30** first level reviews and **8** second level appeals for a total of **48** hearing days. This represents an increase of **1** hearing over the previous fiscal year. Of the **38** cases that proceeded to a hearing, many cases were postponed and rescheduled at a later date. At the end of 2008-2009, **90** cases were pending further action, **16** were awaiting decisions and **9** had been scheduled for the 2009-2010 fiscal year.

In the 2008-2009 reporting period, **75** cases were concluded without a hearing. It should be noted that of these **75** cases many were requests filed with the Tribunal and concluded shortly before the hearing was to take place, which means that all registry work that leads up to the hearing was completed. The registry prepared for **66** hearings.

The **75** cases concluded without a hearing were resolved in a number of ways:

- the document holder paid the fine before the hearing;
- the document holder's licence was reinstated before the hearing;
- the request for hearing was withdrawn by the document holder;
- the notice was withdrawn by the Minister;
- an agreement was reached between the parties.

Risk Analysis

As a micro-organization, the Tribunal's main risk is the increased pressure on its resources from an increased and unpredictable workload, as well as the need to meet the obligations of government-wide horizontal initiatives. The Tribunal's activities are driven by external demands that it can only react to rather than plan for.

Even though the demand for services has remained relatively stable, the Tribunal has had to manage ongoing increases in operating costs, such as the per diem(s) for members, hearing rooms, court reporters, travel charges, information technology upgrades and translation costs, while its funding budget has remained stable.

It must be noted, however, that the most important risk is the insufficient number of members available to conduct hearings. In order to deliver on our program, the Tribunal needs to have members with the right mix of skills and talents in all three modes of transportation.

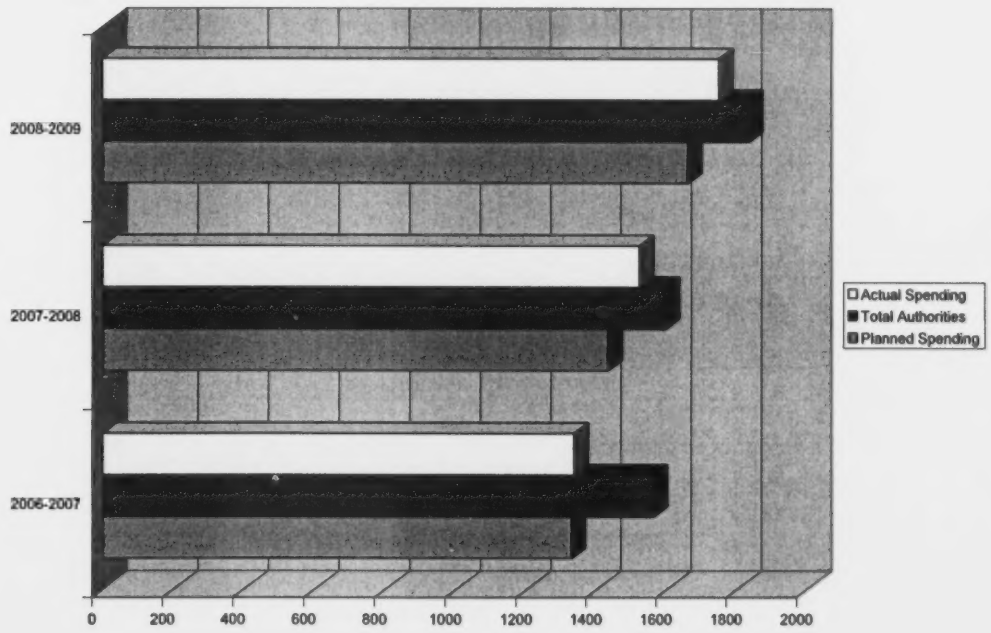
Accordingly, the Tribunal has in place numerous strategies to mitigate these potential risks.

Expenditure Profile

(Thousands of dollars)

Spending Trends

	2006-2007	2007-2008	2008-2009
Planned Spending	1 329	1 433	1 660
Total Authorities	1 564	1 597	1 834
Actual Spending	1 337	1 523	1 749



For the 2006-2007 to the 2008-2009 periods, total authorities include all parliamentary appropriation: main estimates, supplementary estimates and carry-forward adjustments.

For 2008-2009, the total operating expenses increased by $226 000 as compared to the previous fiscal year. This increase can essentially be explained by the following:

- The Tribunal has experienced an increase in professional and special services fees to undertake the Web site update project to disclose 3500 decisions on the Tribunal's Web site.

For 2007-2008, the total operating expenses increased by $186 000 as compared to fiscal year 2006-2007. This increase can essentially be explained by the following:

- The variances in resources spent are due to uncontrollable factors, such as fees for hearing rooms, travel, preparation and time spent on hearings, remuneration, interpreters, decision writing and costs for legal services, court reporting, transcripts and translations. The average costs fluctuate each fiscal year, as they are determined by the number of review determination and appeal hearings and the complexity of cases.

Voted and Statutory Items
(Thousands of dollars)

Vote # or Statutory Item (S)	Truncated Vote or Statutory Wording	2006-2007 Actual Spending	2007-2008 Actual Spending	2008-2009 Main Estimates	2008-2009 Actual Spending
1	Operating expenditures	1 221.1	1 411.1	1 213.0	1 640.6
(S)	Contributions to employee benefit plans	125.9	111.9	121.0	108.0
	Total	1 337.0	1 523.0	1 334.0	1 748.6

This past fiscal year, the Tribunal has experienced an increase in professional and special services fees to undertake the Web site update project, and 3500 decisions were disclosed on the Tribunal's Web site.

SECTION II: ANALYSIS OF PROGRAM ACTIVITIES BY STRATEGIC OUTCOME

Strategic Outcome

The strategic outcome of the Tribunal is to provide the Canadian transportation community with the opportunity to have enforcement and licensing decisions of the Minister of transport reviewed by an independent body.

The Tribunal's only activity is the provision of an independent review process for aviation, rail and marine by providing document holders with the opportunity to proceed with a hearing. The Tribunal represents the only forum ensuring that document holders have access to an independent assessment governed by considerations of natural justice. Its role does not overlap with, nor is it duplicated by, any other agency, board or commission. It is unique in the transportation field, in that its function is entirely adjudicative.

Review and Appeal Hearings

The objective is to provide for the operation of an independent Tribunal to respond to requests from the transportation community for review of enforcement and licensing decisions taken by the Minister of Transport under the *Aeronautics Act*, the *Canada Transportation Act*, the *Railway Safety Act*, the *Marine Transportation Security Act*, the *Canada Marine Act*, the *Canada Shipping Act, 2001* and the *International Bridges and Tunnels Act*, and to conduct hearings into such appeals.

Program Activity by Strategic Outcome

Program Activity: Review and Appeal Hearings					
2008-09 Financial Resources ($ thousands)			2008-2009 Human Resources (FTEs)		
Planned Spending	Total Authorities	Actual Spending	Planned	Actual	Difference
1 659.7	1 834.0	1 748.6	12	10	2

Expected Results	Performance Indicators	Targets	Performance Status	Performance Summary
Access to an independent assessment governed by considerations of natural justice	Hearings conducted in a timely manner	100% of decisions rendered within 90 days	Exceeded	The average lapsed time between the conclusion of a review hearing and the issuance of a determination is 70 days and 85 days for an appeal.
Plans, measures and arrangements are in place to ensure the continuous delivery of critical services, which permits the organization to recover its data and assets	Business Continuity Plan (BCP) Developed Tools to maintain business continuity plan readiness, such as contingency plan, emergency response plan, etc.	March 2009	Mostly met	Since 2007, the Tribunal has had a BCP. The plan was recently updated along with the tools and the procedures.
Improved awareness and better information among the Transportation community and key stakeholders with respect to the Tribunal's mandate, services and decisions	Tribunal information accessible to the lay person in a timely manner	June 2009	Successfully met	3500 decisions were uploaded onto the Tribunal's Web site in both official languages.

Benefits for Canadians

The Tribunal is unique in the transportation field in that its sole function is adjudicative. It provides document holders with the opportunity to have an independent hearing that is informal, expeditious and fair.

The cases before the Tribunal are regulatory in nature and concern matters of safety and security.

The Tribunal's performance indicators verify that these cases are conducted in a timely manner and that Tribunal information is accessible on its Web site.

The Tribunal process is able to quickly identify concerns in the transportation field of a technical or legislative nature leading to necessary amendments to legislation for the benefit of all Canadians through the enhancement and maintenance of transportation safety in Canada.

Performance Analysis

The program's effectiveness can be measured by its ability to provide the transportation community with the opportunity to have ministerial decisions reviewed fairly, equitably and within a reasonable period of time.

The average lapsed time between the conclusion of a review hearing and the issuance of a determination is **70** days and **85** days for an appeal. This brings the hearing process to a timely conclusion for both parties appearing before the Tribunal.

The Tribunal encourages the use of pre-hearing conferences to assist the parties appearing before it, to identify the issues for determination by the Tribunal and to disclose and exchange documents. This reduces the length of hearings and avoids last-minute adjournments necessitated by late disclosure.

Such conferences have also been particularly effective in settling licence suspensions and refusal to renew on medical grounds without the necessity of a hearing. The Tribunal registrars contact the parties to schedule mutually agreed hearing dates to the extent possible to avoid unnecessary adjournments.

In 2007-2008, the Tribunal referred **6** cases back to the Minister of Transport for reconsideration, pursuant to sections 6.72 and 7.1 of the *Aeronautics Act*, the Tribunal lacking the power to substitute its own decision for that of the Minister in these cases. The Minister confirmed its original decision in **1** case, and we are still awaiting the outcome in the **5** remaining cases.

In 2008-2009, the Tribunal referred **2** cases back to the Minister. We are still awaiting the outcome in these **2** cases.

Lessons Learned

The Tribunal's only activity is the provision of an independent review process for aviation, rail and marine by providing document holders with the opportunity to proceed with a hearing.

Lessons learned can be defined as experiences acquired in the execution of programs and services that can provide value-added direction to future plans and efforts to achieve results. A plan must be in place to address and follow up on these actions and directions in future Report on Plans and Priorities.

The Tribunal's sole objective is to be effective, independent and to overcome the burden of delays and costs occasioned by the court system.

To promote communication between the parties with a view to settlement, the registry encourages early disclosure of documents to the applicant. In order to resolve outstanding issues that may delay the scheduling of the hearing, the registry will arrange a teleconference with a Tribunal member.

These experiences in aviation sector cases will prove valuable as marine and rail sector cases increase in complexity and will provide precedents in training sessions.

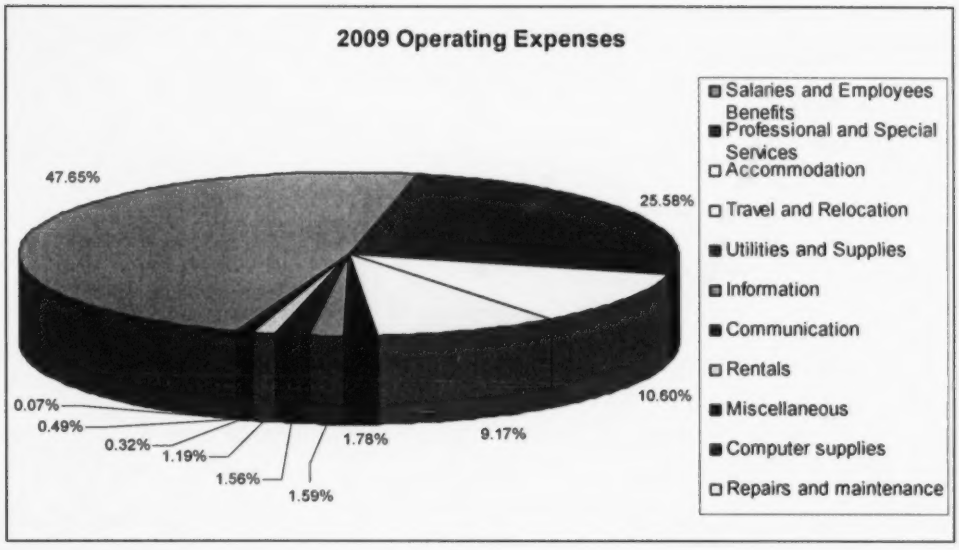
Financial Highlights

Condensed Statement of Financial Position At End of Year (March 31, 2009)	2009	2008
ASSETS		
Financial Assets	38 702	30 703
Non-Financial Assets	11 937	13 194
TOTAL	**50 639**	**43 897**
Condensed Statement of Financial Position **At End of Year (March 31, 2009)**	**2009**	**2008**
LIABILITIES		
Accounts Payable and Accrued Liabilities	156 037	305 051
Vacation Pay and Compensatory Leave	57 442	65 714
Employee Severance Benefits	173 251	176 738
EQUITY CANADA	(336 091)	(503 606)
TOTAL	**50 639**	**43 897**
Condensed Statement of Financial Position **At End of Year (March 31, 2009)**	**2009**	**2008**
EXPENSES AND REVENUES		
Total Expenses	1 967 791	1 745 773
Total Revenues	-	-
NET COST OF OPERATIONS	**1 967 791***	**1 745 773***

* includes services received without charge

Operating Expenses

Operating Expenses	2009
Salaries and Employees Benefits	833 219
Professional and Special Services	447 264
Accommodation	185 395
Travel and Relocation	160 429
Utilities and Supplies	31 081
Information	27 818
Communication	27 299
Rentals	20 742
Miscellaneous	8 571
Computer Supplies	5 602
Repairs and Maintenance	1 211
TOTAL OPERATING EXPENSES	**1 748 631**



Financial Statements

In its Annual Report for the fiscal year 2008-2009 (http://www.tatc.gc.ca/doc.php?sid=28&lang=eng) the Tribunal includes financial statements that provide an accounting of the Tribunal's administration of its public financial affairs and resources.

Financial statements are prepared in accordance with accrual accounting principles. The unaudited supplementary information presented in the financial tables in the Annual Report is prepared on a modified cash basis of accounting in order to be consistent with appropriations-based reporting.

Other Items of Interest

Contacts for Further Information

Transportation Appeal Tribunal of Canada
333 Laurier Avenue West
Room 1201
Ottawa, Ontario K1A 0N5

Telephone: 613-990-6906
Fax: 613-990-9153
E-mail: info@tatc.gc.ca
Web Site: www.tatc.gc.ca

Faye Smith – Chairperson
Eleanor Humphries – Vice-Chairperson
Mary Cannon – Registrar (Ontario, Prairie & Northern and Pacific Regions)
Monique Godmaire – Registrar (Headquarters, Quebec and Atlantic Regions)
Françoise Bodart – Editor/Writer
Sylvie Fournier – Administrative Assistant
Louise Lacroix – Finance, Contract and Administration Officer
Danielle Lavergne – Assistant to the Executive Services Manager
Michel Meloche – Executive Services Manager

Statutes and Regulations Currently in Force

Transportation Appeal Tribunal of Canada Act	S.C. 2001, c. 29
Transportation Appeal Tribunal of Canada Rules	SOR/93-346
Aeronautics Act (and subordinate legislation)	R.S.C. 1985, c. A-2
Canadian Aviation Regulations	SOR/96-433
Canada Transportation Act	S.C. 1996, c. 10
Canadian Transportation Agency Designated Provisions Regulations	SOR/99-244
Railway Safety Act	R.S.C. 1985, c. 32 (4th Supp.)
International Bridges and Tunnels Act	S.C. 2007, c. 1
Marine Transportation Security Act	S.C. 1994, c. 20
Marine Transportation Security Regulations	SOR/2004-144
Canada Shipping Act, 2001	S.C. 2001, c. 26
Administrative Monetary Penalties Regulations	SOR/2008-97

Statutory Annual Report and Other Departmental Reports

Report on Plans and Priorities 2009-2010
Annual Report 2008-2009
Guide for Applicants

Reference

The tables are presented under five categories:

SUSPENSIONS

- AME*
- AMO**
- CCP****
- operator certificate
- operator security
- personnel security
- pilot competence
- pilot enforcement
- pilot instrument rating
- pilot proficiency check

CANCELLATIONS

- AME
- certificate of airworthiness
- operator
- personnel security
- pilot

FINES

- AME
- AMO
- ATC***
- aircraft owner
- operator security
- operator
- personnel security
- pilot

REFUSAL TO ISSUE

- AME
- medical certificate
- pilot and others

MEDICALS

- ATC
- pilot

* AME: aircraft maintenance engineer
** AMO: approved maintenance organization
*** ATC: air traffic controller
**** CCP: company check pilot authority